

**DEPARTMENT OF BANKING
JOB OPPORTUNITY
ASSOCIATE FINANCIAL EXAMINER (2 vacancies)
Financial Institutions Division
Securities Division**

PLEASE FOLLOW THE SPECIFIC APPLICATION FILING INSTRUCTIONS AT THE BOTTOM OF THIS PAGE!

Open To: Candidates on a current examination list
Location: Hartford, CT (incumbent may be required to travel)
Hours: 1st shift
Salary: Starting at \$71,988
Closing Date: May 9, 2014

Eligibility Requirement:

Candidates must have applied for and passed the ASSOCIATE FINANCIAL EXAMINER exam and be on the current certification list promulgated by the Department of Administrative Services for this classification. Individuals who applied for the most recent exam administered by the Department of Administrative Services may submit their application materials. However, you must be admitted into the examination and receive a passing score in order to be eligible for appointment.

Examples of Duties:

Independently conducts non-routine examinations and investigations of domestic and international banks, credit unions, broker-dealers, investment advisers, mortgage companies, consumer lenders and other financial entities; develops Risk Assessment Profiles and identifies issues and trends; as a member of a team, independently conducts complex or specialized portions of exams or investigations; assesses financial condition and/or regulatory compliance by reviewing financial and operational practices, where documentation is complex and/or deficient; investigates complex or high-impact complaints to resolution; assesses apparent violations of applicable laws and contraventions of policy, develops documentation to support findings and recommends steps to address issues; communicates with entity's senior management to review issues and findings; conducts enforcement activities such as drafting subpoenas, interviewing witnesses, conducting depositions, assisting in negotiating settlement terms and drafting compliance letters; provides information and guidance to other examiners, industry and public on complex or specialized issues; prepares exam and investigation reports and correspondence; may train and/or lead less experienced examiners as assigned; may work with prosecuting officials and testifies in court or administrative hearings with regard to examinations and investigations; performs related duties as required.

Knowledge, Skills, & Abilities: Considerable knowledge of the organization, operations and business practices of financial entities; considerable knowledge of statutes and regulations applicable to financial entities; considerable knowledge of principles and practices of accounting, auditing and finance; knowledge of regulatory and investigative procedures and techniques; oral and written communication skills; interpersonal skills; ability to utilize computer software.

General Experience: Seven years of experience in the regulation of financial entities or in accounting, auditing, banking or finance.[Note: Financial entities are defined as domestic and international banks, credit unions, broker-dealers, investment advisors, mortgage companies and consumer lenders.]

Special Experience: One year of the General Experience must have been in a working level class independently performing a full range of tasks in the examination and investigation of financial entities. [Note: For State Employees, this will be interpreted at the level of Financial Examiner.]

Special Requirements: (1) Incumbents in this class may be required to travel. (2) Incumbents in this class may be required to possess and retain a valid Motor Vehicle Operator's license.

Note: The filling of this position will be in accordance with reemployment, SEBAC, transfer, promotion and merit employment rules, if applicable.

Application Instructions:

Qualified candidates who meet the above requirements should submit a cover letter, resume, and a CT-HR-12 Application for Employment to:

**Victoria Governale
CT Department of Banking
260 Constitution Plaza
Hartford, CT 06103**

Applications must be received or postmarked by the closing date. Late or incomplete applications will not be considered.

AN AFFIRMATIVE ACTION/EQUAL OPPORTUNITY EMPLOYER

The State of Connecticut is an equal opportunity/affirmative action employer and strongly encourages the applications of women, minorities, veterans, and persons with disabilities.